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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/599,048

06/21/2000

Michael C. Murray

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02/28/2003

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EXAMINER

STEELMAN, MARY J

ART UNIT

PAPER NUMBER

2122

DATE MAILED: 02/28/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/599,048

Applicant(s)

MURRAY ET AL.

Examiner

Mary J. Steelman

Art Unit

2122

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 09/28/00, 12/01/00, 10/03/01.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-69 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-69 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 21 June 2000 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Drawings***

1. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference sign(s) not mentioned in the description:

Figure 12, #1204 is missing in the Specification at page 31, line 14.

A proposed drawing correction, corrected drawings, or amendment to the specification to add the reference sign(s) in the description, are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

### ***Specification***

2. The disclosure is objected to because of the following informalities:

Page 21, the table at the top of the page, recites "Offline files start getting downloaded as soon as Required are down." It seems that some words are missing.

Page 35, line 5, recites "set up and...", should be --set up an...--. Remove the 'd'.

Appropriate correction is required.

3. The following guidelines illustrate the preferred layout for the specification of a utility application. These guidelines are suggested for the applicant's use.

### **Arrangement of the Specification**

As provided in 37 CFR 1.77(b), the specification of a utility application should include the following sections in order. Each of the lettered items should appear in upper case, without underlining or bold type, as a section heading. If no text follows the section heading, the phrase "Not Applicable" should follow the section heading:

- (a) TITLE OF THE INVENTION.
- (b) CROSS-REFERENCE TO RELATED APPLICATIONS.
- (c) STATEMENT REGARDING FEDERALLY SPONSORED RESEARCH OR DEVELOPMENT.
- (d) INCORPORATION-BY-REFERENCE OF MATERIAL SUBMITTED ON A COMPACT DISC (See 37 CFR 1.52(e)(5) and MPEP 608.05. Computer program listings (37 CFR 1.96(c)), "Sequence Listings" (37 CFR 1.821(c)), and tables having more than 50 pages of text are permitted to be submitted on compact discs.) or  
REFERENCE TO A "MICROFICHE APPENDIX" (See MPEP § 608.05(a). "Microfiche Appendices" were accepted by the Office until March 1, 2001.)
- (e) BACKGROUND OF THE INVENTION.
  - (1) Field of the Invention.
  - (2) Description of Related Art including information disclosed under 37 CFR 1.97 and 1.98.
- (f) BRIEF SUMMARY OF THE INVENTION.
- (g) BRIEF DESCRIPTION OF THE SEVERAL VIEWS OF THE DRAWING(S).
- (h) DETAILED DESCRIPTION OF THE INVENTION.
- (i) CLAIM OR CLAIMS (commencing on a separate sheet).
- (j) ABSTRACT OF THE DISCLOSURE (commencing on a separate sheet).
- (k) SEQUENCE LISTING (See MPEP § 2424 and 37 CFR 1.821-1.825. A "Sequence Listing" is required on paper if the application discloses a nucleotide or amino acid sequence as defined in 37 CFR 1.821(a) and if the required "Sequence Listing" is not submitted as an electronic document on compact disc).

Applicant is reminded to submit a cross reference to related applications.

### ***Claim Rejections - 35 USC § 101***

4. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

**Claims 40-47** are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter, a data structure.

5. Nonstatutory Subject Matter

Claims to computer-related inventions that are clearly nonstatutory fall into the same general categories as nonstatutory claims in other arts, namely natural phenomena such as magnetism, and abstract ideas or laws of nature which constitute “descriptive material.”

Abstract ideas, *Warmerdam*, 33 F.3d at 1360, 31 USPQ2d at 1759, or the mere manipulation of abstract ideas, *Schrader*, 22 F.3d at 292-93, 30 USPQ2d at 1457-58, are not patentable. Descriptive material can be characterized as either “functional descriptive material” or “nonfunctional descriptive material.” In this context, “functional descriptive material” consists of data structures and computer programs which impart functionality when employed as a computer component. (The definition of “data structure” is “a physical or logical relationship among data elements, designed to support specific data manipulation functions.” *The New IEEE Standard Dictionary of Electrical and Electronics Terms* 308 (5th ed. 1993).) “Nonfunctional descriptive material” includes but is not limited to music, literary works and a compilation or mere arrangement of data.

Both types of “descriptive material” are nonstatutory when claimed as descriptive material per se. *Warmerdam*, 33 F.3d at 1360, 31 USPQ2d at 1759. When functional descriptive material is recorded on some computer-readable medium it becomes structurally and functionally interrelated to the medium and will be statutory in most cases since use of technology permits the function of the descriptive material to be realized.

Compare *In re Lowry*, 32 F.3d 1579, 1583-84, 32 USPQ2d 1031, 1035 (Fed. Cir. 1994) (claim to data structure stored on a computer readable medium that increases computer efficiency held statutory) and *Warmerdam*, 33 F.3d at 1360-61, 31 USPQ2d at 1759 (claim to computer having a specific data structure stored in memory held statutory product-by-process claim) with *Warmerdam*, 33 F.3d at 1361, 31 USPQ2d at 1760 (claim to a data structure per se held nonstatutory). When nonfunctional descriptive material is recorded on some computer-readable medium, it is not statutory since no requisite functionality is present to satisfy the practical application requirement. Merely claiming nonfunctional descriptive material stored in a computer-readable medium does not make it statutory. Such a result would exalt form over substance. *In re Sarkar*, 588 F.2d 1330, 1333, 200 USPQ 132, 137 (CCPA 1978) (“Each invention must be evaluated as claimed; yet semantogenic considerations preclude a determination based solely on words appearing in the claims. In the final analysis under 101, the claimed invention, as a whole, must be evaluated for what it is.”) (quoted with approval in *Abele*, 684 F.2d at 907, 214 USPQ at 687). See also *In re Johnson*, 589 F.2d 1070, 1077, 200 USPQ 199, 206 (CCPA 1978) (“form of the claim is often an exercise in drafting”). Thus, nonstatutory music is not a computer component and it does not become statutory by merely recording it on a compact disk. Protection for this type of work is provided under the copyright law.

### ***Claim Rejections - 35 USC § 112***

6. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

7. Claims 64 & 65 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. "A network site" is not descriptive enough. A suggested rewording might be "A network apparatus..." or "A method of managing a network..."

***Claim Rejections - 35 USC § 102***

8. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

9. Claims 1-69 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent 6253366 to Mutschler, III.

**Per claims 1 & 17:**

-describing one or more software extensions using descriptions, the extensions being configured for incorporation in a software platform executing on a client; (Col. 4, lines 21 –30 and 48-60, "...combines the benefits of the Web-based XML standard for defining, validating and sharing document formats on the Web...." and "...generate Document Type Definitions...for the Extensible Markup Language...")

-delivering the descriptions of the one or more extensions to the client via the network, the descriptions being configured for use in downloading the software extensions via the network. (Col. 6, lines 13-16, "The term "import" as used herein shall mean the creation of an object based on a description of an object transmitted from an external entity.")

Art Unit: 2122

**Per claim 2:** (Col. 2, line 22.)

**Per claims 3, 30, and 56:** (Figs. 3A, 3B, & 3C and col. 7, lines 20-25.)

**Per claims 4, 57, and 65:** (Figs. 3A, 3B, and 3C and col. 4, lines 21-28.)

**Per claim 5:** (Col. 2, line 22 and col. 4, lines 21-28.)

**Per claims 6 and 20:** (Col. 4, lines 31-39.)

**Per claims 7, 8, 17, and 21:** (Col. 4, lines 31-39 and col. 5, lines 16-20.)

**Per claims 9, 13, 22, 23, 27, 35, 45, 49, 50, and 54:** (Col. 4, lines 31-35.)

**Per claims 10, 13, 24, 27, 36, 45, 50, and 54:** (Col. 3, line 60 – col. 4, line 9.)

**Per claims 11, 13, 25, 27, 37, 45, 50, and 54:** (Col. 4, lines 1-10.)

**Per claims 12, 13, 26, 27, 38, 50, and 54:** (Col. 4, lines 11-18.)

**Per claim 14:** (Col. 4, lines 21-28 and 29-39.)

**Per claim 15:** (Col. 4, lines 48-56.)

**Per claim 16:** (Col. 4, lines 56-60.)

**Per claims 18 & 28:**

-describing one or more software extensions using one or more descriptive files, the extensions being configured for incorporation in a software program executing on a client; (Col. 4, lines 21-30 and 48-60 and col. 6, lines 13-16.)

-associating the one or more descriptive files with one or more associated extension files that are useable to provide a program functionality; (Col. 4, lines 54-56.)

-storing the descriptive files and associated extension files in a network-accessible location;  
(Fig. 2, DTD.)



-delivering the descriptive files and the associated extension files of the one or more extensions to the client via a network; (Fig. 1.)

**Per claim 19:** (Col. 4, lines 48-56.)

**Per claims 29 & 39:**

-storing one or more extension definition files (EDFs) that describe a logical attachment to a software application program; (Figs. 1 and 2, DTD.)

-storing one or more extension files that correspond to the one or more EDFs and extend the software application program; (Col. 2, lines 37-43.)

-delivering, via a network, at least one EDF to a client; delivering, via a network, at least one extension file that corresponds to the at least one EDF to a client. (Col. 4, lines 29-39.)

**Per claim 31:** (Col. 2, line 22.)

**Per claim 32:** (Col. 4, lines 65-66.)

**Per claim 33:** (Col. 4, lines 48-60.)

**Per claims 34:** (Col. 4, lines 51-54.)

**Per claim 40:**

-a first sub-structure indicative of a software extension that is to be incorporated in a software application program; one or more second sub-structures associated with the first sub-structure and indicative of feature types that can be added by the extension to the application program; one or more third sub-structures associated with the one or more second sub-structures and indicative of features of an associated feature type that can added by the extension. (Col. 4, lines 1-8 and 21-39.)

**Per claims 41, 42 and 43:** (Figs. 3A, 3B, and 3C and col. 7, line 20 – col. 8, line 19.)

**Per claim 44:** (Col. 7, lines 45-46.)

**Per claims 46 and 47:** (Col. 4, lines 35-39.)

**Per claims 48 and 54:**

-navigating to a network site that maintains at least one software application program;  
downloading a software application program from the network site, the application program comprising multiple different functionalities that can assist a user in accomplishing different tasks, the software application program being configured to be extended with software extensions that are deliverable via a network and are described by at least one network-deliverable file. (Col. 4, lines 24-39 and col. 5, lines 18-19.)

**Per claims 51 and 54:** (Col. 4, lines 24-26.)

**Per claim 52:** (Col. 4, lines 29-35 and col. 6, lines 20-23.)

**Per claim 53:** (Col. 4, lines 16-20 and line 65 – col. 5, line 4.)

**Per claims 55, 62, and 64:**

-accessing a web site through which one or more software extensions can be obtained; (Col. 6, lines 11-16.)

-receiving at least one file that describes at least one software extension using a hierarchical language that describes the software extension's logical attachment to a software application program; receiving one or more software extension files; installing the one or more software extension files based, at least in part, on the description contained in said at least one file. (Col. 4, lines 21-39 and col. 6, lines 29-49.)

**Per claim 58:** (Col. 6, lines 33-35.)

**Per claim 59:** (Col. 6, lines 50-51.)

Art Unit: 2122

**Per claims 60 and 61:** (Col. 5, lines 21-23.)

**Per claim 63:**

-describing one or more software extensions using one or more extensible markup language (XML) files, the extensions being configured for incorporation in a software program executing on a client; associating the one or more XML files with one or more associated extension files that are useable to provide a program functionality; storing the XML files and associated extension files in a network-accessible location. (Col. 4, lines 21-39.)

**Per claim 66:**

-grouping multiple software extension descriptions in a catalog in a network-accessible location; (Col. 5, lines 16-23.)

-accessing the network-accessible location; (Col. 6, lines 11-12.)

-using the catalog to update a software extension that is resident on a computing device. (Col. 6, lines 22-36.)

**Per claim 67:** (Col. 5, lines 21-23.)

**Per claim 68:** (Col. 5, lines 18-19.)

**Per claim 69:** (Col. 4, lines 21-23.)

### ***Conclusion***

10. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mary Steelman, whose telephone number is (703) 305-4564. The examiner can normally be reached Monday through Thursday from 7:00 A.M. to 5:30 P.M. If

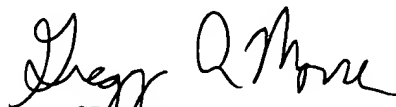
Art Unit: 2122

attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse can be reached on (703) 308-4789.

The fax phone numbers are (703) 746-7240 for regular communications and (703) 746-7239 for After Final communications. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

MS

02/21/2003

  
GREGORY MORSE  
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